



10/673,669

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PTO/SB/21 (09-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

Patent No. 7102,605

Filing Date

Issue Date September 5, 2006

First Named Inventor

Stumbo et al.

Art Unit

2674

Examiner Name

Regina Liang

Attorney Docket Number

01-002901

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD

Remarks



After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):Statements by Xiangfeng Duan, Chunming
Niu, David Stumbo and Stephen
Empedocles, Consent of Assignee, Copy of
3.73(b) Statement, Declaration**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Nanosys, Inc.

Signature

Printed name

Andrew L. Filler

Date

3-02-07

Reg. No.

44,107

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Michelle Chan

Date

March 2, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:	Confirmation No. 2029
STUMBO <i>et al.</i>	Art Unit: 2674
Patent No. 7,102,605	Examiner: Regina Liang
Issued: September 5, 2006	Atty. Docket: 2132.0080001
For: Integrated Displays Using Nanowire Transistors	

**Petition under 37 C.F.R. § 1.324(a)
to Correct Inventorship in a Patent**

Mail Stop Petition
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

It is hereby petitioned that the United States Patent and Trademark Office (USPTO) correct inventorship in the above-captioned patent. Specifically, the USPTO is requested to change the inventorship in this patent from:

Dave Stumbo
Stephen Empedocles

to

Xiangfeng Duan
Chunming Niu
Stephen Empedocles
Dave Stumbo

03/07/2007 SSESHE1 00000010 502336 7102605
01 FC:1464 130.00 DA



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PROCESSING FEE
Under 37 CFR 1.17(i)
TRANSMITTAL

(Fees are subject to annual revision)

Send completed form to: Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

Application Number	Patent No. 7,102,605
Filing Date	Issue Date: September 5, 2006
First Named Inventor	STUMBO et al.
Art Unit	2674
Examiner Name	Regina Liang
Attorney Docket Number	2132.0080001

Enclosed is a paper filed under 37 CFR 1.20(b) that requires a processing fee (37 CFR 1.17(i)).
Payment of \$130.00 is enclosed.

This form should be included with the above-mentioned paper and faxed or mailed to the Office using the appropriate Mail Stop, if applicable. For transmittal of petition fees under 37 CFR 1.17(f), (g) or (h), see form PTO/SB/17p.

Payment of Fees (small entity amounts are NOT available for the processing fees)

☒ The Commissioner is hereby authorized to charge the following fees to Deposit Account No. 50-2336:

☐ processing fee under 37 CFR 1.17(i) ☒ any deficiency of fees and credit of any overpayments

Enclose a duplicative copy of this form for fee processing.

☐ Check in the amount of \$ is enclosed.

☐ Payment by credit card (Form PTO-2038 or equivalent enclosed). Do not provide credit card information on this form.

Processing Fees under 37 CFR 1.17(i): Fee \$130 Fee Code 1808 for all,
Except for § 1.221 papers (Fee Code 1803)

For papers filed under:

- § 1.28(c)(3) - for processing a non-itemized fee deficiency based on an error in small entity status.
- § 1.41 - for supplying the name or names of the inventor or inventors after the filing date without an oath or declaration as prescribed by § 1.63, except in provisional applications.
- § 1.48 - for correcting inventorship, except in provisional applications.
- § 1.52(d) - for processing a nonprovisional application filed with a specification in a language other than English.
- § 1.53(b)(3) - to convert a provisional application filed under § 1.53(c) into a nonprovisional application under § 1.53(b).
- § 1.55 - for entry of late priority papers.
- § 1.71(g)(2) - to enter an amendment to the specification for purposes of 35 U.S.C. 103(c)(2) if not filed within the cited time periods.
- § 1.99(e) - for processing a belated submission under § 1.99.
- § 1.103(b) - for requesting limited suspension of action, continued prosecution application (§ 1.53(d)).
- § 1.103(c) - for requesting limited suspension of action, request for continued examination (§ 1.114).
- § 1.103(d) - for requesting deferred examination of an application.
- § 1.217 - for processing a redacted copy of a paper submitted in the file of an application in which a redacted copy was submitted for the patent application publication.
- § 1.221 - for requesting voluntary publication or republication of an application. **Fee Code 1803**
- § 1.291(c)(5) - for processing a second or subsequent protest by the same real party in interest.
- § 1.497(d) - for filing an oath or declaration pursuant to 35 U.S.C. 371(c)(4) naming an inventive entity different from the inventive entity set forth in the international stage.
- § 3.81 - for a patent to issue to assignee, assignment submitted after payment of the issue fee.

Signature

Andrew L. Filler
Typed or printed name

03-62-07

Date

44,107

Registration No., if applicable

This collection of information is required by 37 CFR 1.17. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 5 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

This request is accompanied by:

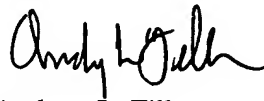
- (1) a statement under 37 C.F.R. 1.324(b)(1) from each of the inventors being added stating that the error occurred without deceptive intent;
- (2) a statement under 37 C.F.R. § 1.324(b)(2) from each of the currently named inventors agreeing to the change of inventorship;
- (3) a statement from the assignee under 37 C.F.R. § 1.324(b)(3) agreeing to the change of inventorship in the patent;
- (4) a copy of the executed Certificate Under 37 C.F.R. § 3.73(b); and
- (5) the fees set forth under 37 C.F.R. § 1.20(b) for \$130.00 in our attached PTO-2038 Credit Card Payment Form.

Further, the USPTO is requested to issue a certificate of correction naming revised set of inventors. A certificate of correction is included herewith.

The USPTO is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

NANOSYS, INC



Andrew L. Filler
Registration No. 44,107

Date: March 2, 2007

2625 Hanover Street
Palo Alto, CA 94304
Tel: (650) 331-2176
Fax: (650) 331-2101



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:

STUMBO *et al.*

Patent No. 7,102,605

Issued: September 5, 2006

For: **Integrated Displays Using
Nanowire Transistors**

Confirmation No. 2029

Art Unit: 2674

Examiner: Regina Liang

Atty. Docket: 2132.0080001

Statement under 37 C.F.R. § 1.324(b)(1) of Inventor Being Added

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

I am an inventor or coinventor of the invention of one or more claims in the above-captioned patent for which a declaration under 37 C.F.R. § 1.63 has been filed erroneously. I agree to the inventorship change from Dave Stumbo and Stephen Empedocles to Dave Stumbo, Stephen Empedocles, Chunming Niu and Xiangfeng Duan. The inventorship error of failing to include Xiangfeng Duan as an inventor occurred without any deception on my part. I have read and understand 37 C.F.R. § 10.18(b).

Signed: _____

Xiangfeng Duan

Date: _____

2/14/07



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:

STUMBO *et al.*

Patent No. 7,102,605

Issued: September 5, 2006

For: **Integrated Displays Using
Nanowire Transistors**

Confirmation No. 2029

Art Unit: 2674

Examiner: Regina Liang

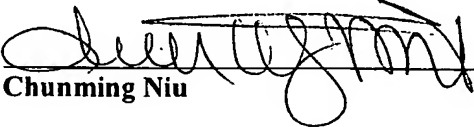
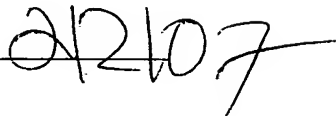
Atty. Docket: 2132.0080001

Statement under 37 C.F.R. § 1.324(b)(1) of Inventor Being Added

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

I am an inventor or coinventor of the invention of one or more claims in the above-captioned patent for which a declaration under 37 C.F.R. § 1.63 has been filed erroneously. I agree to the inventorship change from Dave Stumbo and Stephen Empedocles to Dave Stumbo, Stephen Empedocles, Chunming Niu and Xiangfeng Duan. The inventorship error of failing to include Chunming Niu as an inventor occurred without any deception on my part. I have read and understand 37 C.F.R. § 10.18(b).

Signed:  Date: 
Chunming Niu



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:

STUMBO *et al.*

Patent No. 7,102,605

Issued: September 5, 2006

For: **Integrated Displays Using
Nanowire Transistors**

Confirmation No. 2029

Art Unit: 2674

Examiner: Regina Liang


Atty. Docket: 2132.0080001

**Statement under 37 C.F.R. § 1.324(b)(2) of Presently Named Inventor
Agreeing to Inventorship Change**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

I am an inventor or coinventor of the invention of one or more claims in the above-captioned patent for which a declaration under 37 C.F.R. § 1.63 has been filed erroneously. I agree to the inventorship change from Dave Stumbo and Stephen Empedocles to Dave Stumbo, Stephen Empedocles, Chunming Niu and Xiangfeng Duan. The inventorship error occurred without deceptive intent on my part. I have read and understand 37 C.F.R. § 10.18(b).

Signed: 

Dave Stumbo

Date: 2/12/07



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:

STUMBO *et al.*

Patent No. 7,102,605

Issued: September 5, 2006

For: **Integrated Displays Using
Nanowire Transistors**

Confirmation No. 2029

Art Unit: 2674

Examiner: Regina Liang

Atty. Docket: 2132.0080001

**Statement under 37 C.F.R. § 1.324(b)(2) of Presently Named Inventor
Agreeing to Inventorship Change**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

I am an inventor or coinventor of the invention of one or more claims in the above-captioned patent for which a declaration under 37 C.F.R. § 1.63 has been filed erroneously. I agree to the inventorship change from Dave Stumbo and Stephen Empedocles to Dave Stumbo, Stephen Empedocles, Chunming Niu and Xiangfeng Duan. The inventorship error occurred without deceptive intent on my part. I have read and understand 37 C.F.R. § 10.18(b).

Signed:


Stephen Empedocles

Date:

2/2/07



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent of:

Stumbo *et al.*

Patent No. 7,102,605

Issued: September 5, 2006

For: **Integrated Displays Using
Nanowire Transistors**

Confirmation No. 2029

Art Unit: 2674

Examiner: Regina Liang

Atty. Docket: 2132.0080001

Consent of Assignee Under 37 C.F.R. § 1.324(b)(3)

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Nanosys, Inc., assignee of the entire right, title and interest of the originally named inventors of the above-captioned patent, consents to the change in inventorship from Dave Stumbo and Stephen Empedocles to Dave Stumbo, Stephen Empedocles, Chunming Niu and Xiangfeng Duan. I have read and understand 37 C.F.R. 10.18(b).

For: Nanosys, Inc.

Signature: Andrew F. Filler

Name: Andrew F. Filler

Title: Vice President of Intellectual Property

Date: March 4, 2007



STATEMENT UNDER 37 CFR 3.73(b)

Applicant: Stumbo et al.

Application No.: 10/673,669

Filed: September 30, 2003

Entitled: Integrated Displays Using Nanowire Transistors

Nanosys, Inc.

, a

corporation,

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 014510, Frame 0738, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

4/25/05
Date

Matthew B. Murphy
Signature
Matthew B. Murphy
Typed or printed name
Vice President, Legal Affairs
Title



Declaration for Patent Application

Docket Number: 2132.0080001

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled **Integrated Displays Using Nanowire Transistors**, the specification of which is attached hereto unless the following box is checked:

☒ was filed on September 30, 2003;
as United States Application Number 10/673,669 and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or (f) or § 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or § 365(a) of any PCT international application, which designated at least one country other than the United States of America, listed below, and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Applications(s):

Priority Claimed

_____ (Application No.)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Application No.)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No


Send Correspondence to:


NANOSYS, INC.
2625 Hanover Street
Palo Alto, CA 94304

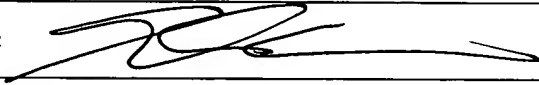
Direct Telephone Calls to:

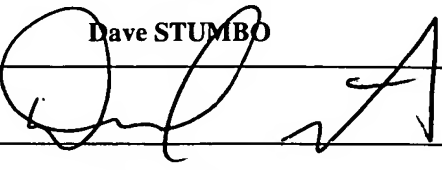
(650)-331-2176

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of fourth Inventor:	Xiangfeng DUAN	
Signature of fourth Inventor:		Date: 2/14/07
Residence:	Mountain View, CA	
Citizenship:	CHINA	
Mailing Address:	1200 Dale Ave., Apt. 131 Mountain View, CA 94040	

Full name of third Inventor:	Chunming NIU	
Signature of third Inventor:		Date: 2/2/07
Residence:	Palo Alto, CA	
Citizenship:	U.S.A.	
Mailing Address:	450 Loma Verde Ave. Palo Alto, CA 94306	

Full name of second Inventor:	Stephen EMPEDOCLES	
Signature of second Inventor:		Date: 2/2/07
Residence:	Mountain View, CA	
Citizenship:	U.S.A.	
Mailing Address:	1110 Rosefield Way Menlo Park, CA 94025	

Full name of first Inventor:	Dave STUMBO
Signature of first Inventor:	 Date: 2/12/07
Residence:	Belmont, CA
Citizenship:	U.S.A.
Mailing Address:	1561 6th Avenue Blemont, CA 94002

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